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\*LIMITED TO MATTERS  
AND PROCEEDINGS BEFORE  
FEDERAL COURTS & AGENCIES  
\*\*REGISTERED PATENT AGENT  
\*\*\*SENIOR COUNSEL

December 28, 2001

WRITER'S DIRECT NUMBER:

(202) 371-2667

INTERNET ADDRESS:

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Commissioner for Patents  
Washington, D.C. 20231

Box: Missing Parts

Re: U.S. Utility Patent Application  
Appl. No. 09/971,765; Filed: October 9, 2001  
For: A Method and Apparatus for a Common-Cause Failure Module for  
Probabilistic Risk Assessment Tools  
Inventors: Franciscus J. GROEN *et al.*  
Our Ref: 1797.0510000

Sir:

In reply to the "Notice to File Missing Parts of Application--Filing Date Granted," dated November 8, 2001, Applicants submit the following documents for appropriate action by the U.S. Patent and Trademark Office:

1. PTO Fee Transmittal Form PTO/SB/17 (*in duplicate*);
2. Copy of the Notice to File Missing Parts;
3. Original Declaration, executed by the inventors;
4. An original executed Power of Attorney from Assignee;
5. Certificate Under 37 C.F.R. § 3.73(b) with a copy of the Assignment attached;
6. Small Entity Status Form;
7. One (1) return postcard; and

Commissioner for Patents

December 28, 2001

Page 2

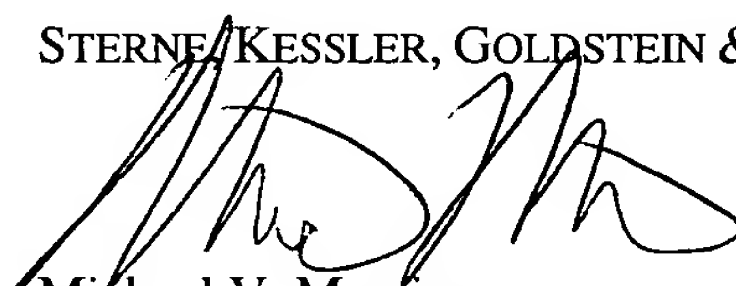
8. Our check no. 33693 for \$615.00 to cover:  
    \$370.00 Filing Fee for Patent Application (37 C.F.R. § 1.16);  
    \$180.00 Fee for excess claims (37 C.F.R. § 1.16); and  
    \$ 65.00 Surcharge for late filing of Declaration (37 C.F.R. § 1.16).

It is respectfully requested that the attached postcard be stamped with the date of filing of these documents, and that it be returned to our courier.

The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. 19-0036. If extensions of time under 37 C.F.R. § 1.136 other than those otherwise provided for herewith are required to prevent abandonment of the present patent application, then such extensions of time are hereby petitioned, and any fees therefor are hereby authorized to be charged to our Deposit Account No. 19-0036. A duplicate copy of this letter is enclosed.

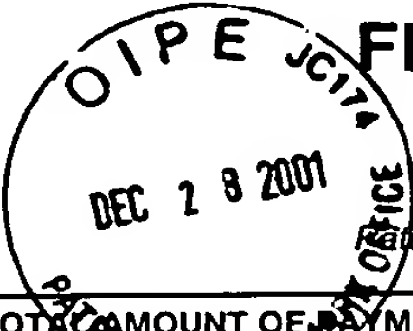
Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.




Michael V. Messinger  
Attorney for Applicants  
Registration No. 37,575

Enclosures

 <b>FEE TRANSMITTAL for FY 2002</b> <i>Patent fees are subject to annual revision.</i>	<b>Complete if Known</b>	
	Application Number	09/971,765
	Filing Date	October 9, 2001
	First Named Inventor	Franciscus J. GROEN
	Examiner Name	To Be Assigned
	Group Art Unit	2184
TOTAL AMOUNT OF PAYMENT	(\$ 615.00)	
Attorney Docket No.		1797.0510000

METHOD OF PAYMENT (check one)		FEE CALCULATION (continued)					
<b>1.</b> <input type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any overpayment to:  Deposit Account Number: 19-0036 Deposit Account Name: Sterne, Kessler, Goldstein & Fox P.L.L.C.  <input type="checkbox"/> Charge Any Additional Fee Required Under 37 CFR §§ 1.16 and 1.17  <input checked="" type="checkbox"/> APPLICANT CLAIMS SMALL ENTITY STATUS See 37 CFR 1.27		<b>3. ADDITIONAL FEES</b> Large Entity Small Entity					
<b>2.</b> <input checked="" type="checkbox"/> Payment Enclosed: <input checked="" type="checkbox"/> Check <input type="checkbox"/> Credit card <input type="checkbox"/> Money Order <input checked="" type="checkbox"/> Other* <small>*Charge any deficiencies or credit any overpayments in the fees or fee calculations of Parts 1, 2 and 3 below to Deposit Account No. 19-0036.</small>		Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee paid
		105	130	205	65	Surcharge - late filing fee or oath	65.00
		127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
		139	130	139	130	Non-English specification	
		147	2,520	147	2,520	For filing a request for <i>ex parte</i> reexamination	
		112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
		113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
		115	110	215	55	Extension for reply within first month	
		116	400	216	200	Extension for reply within second month	
		117	920	217	460	Extension for reply within third month	
		118	1,440	218	720	Extension for reply within fourth month	
		128	1,960	228	980	Extension for reply within fifth month	
		119	320	219	160	Notice of Appeal	
		120	320	220	160	Filing a brief in support of an appeal	
		121	280	221	140	Request for oral hearing	
		138	1,510	138	1,510	Petition to institute a public use proceeding	
		140	110	240	55	Petition to revive - unavoidable	
		141	1,280	241	640	Petition to revive - unintentional	
		142	1,280	242	640	Utility issue fee (or reissue)	
		143	460	243	230	Design issue fee	
		144	620	244	310	Plant issue fee	
		122	130	122	130	Petitions to the Commissioner	
		123	130	123	130	Petitions related to provisional applications	
		126	180	126	180	Submission of Information Disclosure Stmt	
		581	40	481	40	Recording each patent assignment per property (times number of properties)	
		146	740	246	370	Filing a submission after final rejection (37 CFR 1.129(a))	
		149	740	249	370	For each additional invention to be examined (37 CFR 1.129(b))	
		179	740	279	370	Request for Continued Examination (RCE)	
		169	900	169	900	Request for expedited examination of a design application	
		Other fee (specify) :					
		Other fee (specify) :					
		*Reduced by Basic Filing Fee Paid					
		<b>SUBTOTAL (3) (\$)</b>					65.00

FEE CALCULATION					
<b>1. BASIC FILING FEE</b>					
Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
101	740	201	370	Utility filing fee	370.00
106	330	206	165	Design filing fee	
107	510	207	255	Plant filing fee	
108	740	208	370	Reissue filing fee	
114	160	214	80	Provisional filing fee	
<b>SUBTOTAL (1) (\$)</b>					370.00
<b>2. EXTRA CLAIM FEES</b>					
Total Claims 26 - 20** = 6		Extra X 9.00		Fee Paid = 54.00	
Indep. Claims 6 - 3** = 3		X 42.00		= 126.00	
Multiple Dependent				=	
Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	
103	18	203	9	Claims in excess of 20	
102	84	202	42	Independent claims in excess of 3	
104	280	204	140	Multiple dependent claim	
108	84	209	42	**Reissue independent claims over original patent	
110	18	210	9	**Reissue claims in excess of 20 and over original patent	
<b>SUBTOTAL (2) (\$)</b>					180.00
** or number previously paid, if greater; For Reissues, see above					

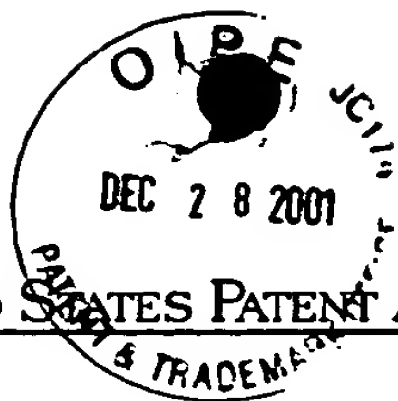
<b>SUBMITTED BY</b>		<b>Complete (if applicable)</b>			
Name (Print/Type)	Michael V. Messinger	Registration No. (Attorney/Agent)	37,575	Telephone	202-371-2600
Signature		Date	December 28, 2001		

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

SKGF Rev. 10/01/01 mnaac

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## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/971,765	10/09/2001	Franciscus J. Groen	1797.0510000

26111  
STERNE, KESSLER, GOLDSTEIN & FOX PLLC  
1100 NEW YORK AVENUE, N.W., SUITE 600  
WASHINGTON, DC 20005-3934

CONFIRMATION NO. 2480

## FORMALITIES LETTER



\*OC000000007042374\*

Date Mailed: 11/08/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 370 to complete the basic filing fee for a small entity.*
- Total additional claim fee(s) for this application is \$180.
  - \$54 for 6 total claims over 20.
  - \$126 for 3 independent claims over 3.
- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 615.

*A copy of this notice **MUST** be returned with the reply.*

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

12/31/2001 MBERHE 00000097 09971765

01 FC:201  
02 FC:205  
03 FC:203  
04 FC:202

370.00 OP  
65.00 OP  
54.00 OP  
126.00 OP